

Complete Healthcare Compliance Manual 2024

Resource: Sample Checklist for Assessing Investigation Capabilities

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Personnel (select one)	Level of Experience (select one)	Subject Matter Expertise (select all that apply)
Human Resources personnel	___ None	• harassment
Employee Relations personnel	___ Conducted 1-5 investigations in the past year	• discrimination
Security personnel	___ Conducted 5-10 investigations in the past year	• retaliation
Auditors	___ Conducted more than 10 investigations in the past year	• general employee misconduct
Legal personnel		• safety violation
Ethics and Compliance personnel		• theft (company or employee property, improper use of
Forensics/IT personnel		• company credit card, theft of confidential information or trade secrets)
Persons responsible for corporate travel and expenses		• violence or threats of violence
Safety/occupational health personnel		• books and records irregularities
Other _____		• wage and hour matters
		• policy or Standard Operating Procedure violations
		• retaliation
		• conflicts of interest
		• bribery/corruption, including Foreign Corrupt Practices Act
		• fraud and abuse
		• website hacking or other external threat
		• substance abuse
		• other misconduct

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